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SECRETARY OF THE AIR FORCE**

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Personnel

**CIVILIAN HUMAN CAPITAL ASSESSMENT
AND ACCOUNTABILITY PLAN**

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

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This publication implements Air Force Policy Directive (AFPD) 36-1, *General Civilian Personnel Provisions and Authorities*. It prescribes procedures to follow for statutory and regulatory compliance with Civilian Human Capital assessment and accountability. It explains the responsibilities of commanders, supervisors, AF/A1C, Air Force Personnel Center (AFPC) to include Operating Locations (OLs), Major Commands (MAJCOMs), Combatant Commands (COCOMs), Direct Reporting Units (DRUs), Field Operating Agencies (FOAs), and Civilian Personnel Sections (CPSs). This instruction applies to Appropriated Fund (APF) civilian employees of the Air Force (AF). It does not apply to Title 32 Air National Guard Technicians or to Non-appropriated Fund (NAF) civilian employees. In collaboration with the Chief of Air Force Reserve (AF/RE) and the Director of the Air National Guard (NGB/CF), the Deputy Chief of Staff for Manpower, Personnel and Services (AF/A1) develops policy for the Air Force *Civilian Human Capital Assessment and Accountability Plan*. This publication may be supplemented at any level; all MAJCOM level supplements must be approved by the Human Resource Management Strategic Board (HSB) prior to certification and approval. All supplements that directly implement this publication must be routed to AF/A1C for coordination prior to certification and approval. Refer recommended changes and questions about this publication to the Office of Primary Responsibility (OPR) using the AF Form 847, *Recommendation for Change of Publication*; route AF Forms 847 from the field through the appropriate functional chain of command. The authorities to waive wing/unit level requirements in this publication are identified with a Tier ("T-0, T-1, T-2, T-3") number following the compliance statement. See AFI 33-360, *Publications and Forms Management*, Table 1.1. for a description of the authorities associated with the Tier numbers. Submit requests for waivers through the chain of command to the appropriate Tier waiver approval authority or to the Publication OPR for non-tiered compliance items. Vigilance should be taken to protect Privacy Act (PA) and Personally Identifiable Information (PII) when transferring documents for review, whether by postal methods, faxing or through government internet systems. As a minimum, review the following references that contain sensitive or For Official Use Only (FOUO) information: AFI 33-332, *Air Force Privacy and Civil Liberties Program*, 12 January 2015,

Chapters 2 and 5; DoDD 5400.11, *Department of Defense Privacy Program*, October 29, 2014. Ensure that all records created as a result of processes prescribed in this publication are maintained in accordance with (IAW) Air Force Manual (AFMAN) 33-363, *Management of Records*, 1 March 2008, and disposed of IAW Air Force Records Disposition Schedule (RDS) located in the Air Force Records Information Management System (AFRIMS). The use of the name or mark of any specific manufacturer, commercial product, commodity, or service in this publication does not imply endorsement by the Air Force. The Air Force will ensure that the Civilian Human Capital Assessment and Accountability Program is administered without unlawful discrimination because of race, color, religion, sex (including pregnancy), national origin, age (40 or older), disability, genetic information, or prior EEO activity.

Chapter 1

PROGRAM OVERVIEW

1.1. Overview. The Air Force Human Capital Assessment and Accountability Plan (HCAAP) provides a framework for assigning roles and responsibilities, collecting and analyzing statistical data, reviewing automated case files, collecting and evaluating supporting documents, preparing and submitting reports, and completing regulatory compliance reviews. In order to standardize human capital processes Air Force (AF)-wide, AFPC developed two operational Guides: the Department of the Air Force (DAF) Civilian Human Capital Self-Assessment Guide and the DAF Workforce Planning Guide.

1.2. Background. Recognizing people are key to the Federal government's mission of delivering services to the American public, both the President and Congress have identified strategic human capital management as an important cornerstone initiative to improve program performance government-wide. The Chief Human Capital Officers (CHCO) Act of 2002 established a foundation for significant change in the American Civil Service, and the Federal Workforce Flexibility Act of 2004 added more strategies to support this change. 5 United States Code (USC) Section 1402 established the authority and functions of agency CHCOs for civilian workforce management. As codified in 5 U.S. Code 1103(c) and implemented under subpart B of Title 5, Code of Federal Regulations (CFR), Part 250, the Human Capital Assessment and Accountability Framework (HCAAF) was issued jointly by the Office of Personnel Management, the Office of Management and Budget, and the Government Accountability Office in 2002. It serves as a roadmap for human capital transformation. DoD has codified its alignment with federal policy in DoDI 1400.25, Volume 250, "Civilian Strategic Human Capital Planning (SHCP)," which "establishes policy and assigns responsibilities for civilian strategic human capital planning, as part of total force planning, to meet current and future civilian employee requirements" based on the guidance in DoD Directive 5124.02, "Under Secretary of Defense for Personnel and Readiness (USD (P&R)), June 23, 2008; Section 1122 of Public Law 109-163, "National Defense Authorization Act" for FY 2006, January 6, 2006; Under Secretary of Defense for Personnel and Readiness Memorandum, "Human Capital Strategy Governance," June 6, 2006; and Section 300.103 of Title 5, CFR.

Chapter 2

ROLES AND RESPONSIBILITIES

2.1. Assistant Secretary of the Air Force (Manpower and Reserve Affairs) (SAF/MR) will:

- 2.1.1. Have overall program responsibility for civilian Human Capital Management (HCM) within the Department of the Air Force.
- 2.1.2. Serve as the agent of the Secretary of the Air Force (SECAF), providing guidance for all matters pertaining to the formulation, review, and execution of plans, guidance, programs, and budgets addressing the Air Force HCAAP.
- 2.1.3. Provide Air Force HCAAP reports to the Office of the Secretary of Defense (OSD) IAW AFPD 36-1 and Headquarters Air Force (HAF) Missions Directive (MD) 1-32, Deputy Chief of Staff of the Air Force, Manpower, Personnel and Services which is IAW HAF MD 1-24, Assistant Secretary of the Air Force, Manpower and Reserve Affairs.

2.2. Deputy Chief of Staff, Manpower, Personnel and Services (AF/A1) will:

- 2.2.1. Ensure compliance with all legislative and OPM HCAAF requirements.
- 2.2.2. Be responsible for management, oversight, and administration of civilian HCM.

2.3. Directorate of Civilian Force Management (AF/A1C) will:

- 2.3.1. At least annually, report HCAAP results, to include program effectiveness, to the SECAF, SAF/MR, and AF/A1.

2.4. Civilian Force Policy Division (AF/A1CP) and Civilian Force Management Division (AF/A1CM) will:

- 2.4.1. Develop and interpret HCAAP policy and procedures.
- 2.4.2. Assess and evaluate civilian HCM programs and processes under this directive and AFPD 36-5, *Civilian Personnel Resource Management*.
- 2.4.3. Coordinate AF-wide efforts to meet the civilian HCM reporting requirements.
- 2.4.4. Direct and ensure compliance with required corrective actions.
 - 2.4.4.1. Conduct random inspections of installations and/or MAJCOMs.
 - 2.4.4.2. Communicate trends, best practices, and/or solutions to problems with AF-wide impact.
- 2.4.5. Determine additional reporting requirements and direct supporting data analysis and evaluation regarding HCAAP.
- 2.4.6. Serve as AF focal point with external organizations for all civilian HCAAP matters.
- 2.4.7. Prepare, review, and edit reports as necessary, including review of documentation and communicators in the Inspector General-managed Managers' Internal Control Toolset (MICT).
- 2.4.8. Oversee AF Delegated Examining Units' performance.

2.4.9. Oversee development of the civilian portion of the AF Strategic Human Capital Plan.

2.5. Air Force Personnel Center (AFPC), including Operating Locations (OLs), will:

2.5.1. Provide operational guidance and assistance to Major Commands (MAJCOMs), Combatant Commands (COCOMs), Direct Reporting Units (DRUs), and Field Operating Agencies (FOAs) on HCAAP.

2.5.2. Maintain and distribute a Department of the Air Force (DAF) Civilian Human Capital Self-Assessment Guide (hereinafter referred to as “the Self-Assessment Guide”) and a DAF Workforce Planning Guide, updating as necessary.

2.5.3. As required, conduct AF-wide employee HCM-related surveys, sharing full results with MAJCOMs and recommending actions for improvements. At a minimum, data should include raw data, any conducted analysis, and reports.

2.5.4. Oversee and compile information from self-assessments, surveys and data calls directed by a MAJCOM, COCOM, DRU, or FOA. AFPC will also disseminate and share results with appropriate stakeholders, to include identification of trends, notification of best practices, and recommendation of action based on survey results.

2.5.5. Conduct internal HCAAP self-assessments, including use of MICT, and report results of self-assessments to A1CP through servicing MAJCOM(s).

2.5.6. Identify, develop, and oversee HRM training for AF stakeholders.

2.6. MAJCOMs, COCOMs, DRUs, and FOAs will:

2.6.1. Ensure compliance and reporting within their respective staff offices and chains of commands, meeting AF Inspector General and HCAAP policy and guidance. Will use MICT for self-assessment and checklist management requirements. **(T-1)**

2.6.2. Conduct self-assessments of serviced population using the Self-Assessment Guide. The MAJCOM A1K, COCOM J1, DRU, and FOA will use these assessments to provide an annual HCM report to AF/A1C, using the OPM HCAAF reporting template. **(T-1)**

2.6.3. Respond to requests for information or action from AF chain of command or Defense Civilian Personnel Advisory Services (DCPAS), ensuring staff offices and subordinate activities comply with requirements in a timely manner. All requests for information will be vetted through AF/A1CP prior to responding. **(T-1)**

2.6.4. Utilize HCAAP information to improve civilian HCM within organizational purview. **(T-2)**

2.7. Commanders and Directors will:

2.7.1. Furnish necessary assessment and accountability support to AF and DCPAS representatives. **(T-1)**

2.7.2. Provide information within the established timeline to requesting office(s). **(T-2)**

2.7.3. Perform HCAAP self-assessments as required, but at least annually, in accordance with the Self-Assessment Guide. **(T-2)**

2.7.4. Incorporate HCAAP results into programs and processes to improve civilian HCM. **(T-2)**

2.8. Civilian Personnel will:

2.8.1. Provide assistance to serviced activities to develop civilian HCAAP programs in accordance with IG and HCAAP policy and guidance, consistent with activity size, mission requirements, and command requirements. **(T-1)**

2.8.2. Actively participate in self-assessment activities in accordance with the Self-Assessment Guide, performing HCAAP requirements for HCM services delivered and ensuring that the services are efficient, effective, meet technical and legal requirements, and meet the mission requirements of their stakeholders. **(T-2)**

2.8.3. Collect, analyze, maintain, and report data and metrics on key HCAAP indicators, using the MICT for self-assessment and checklist management requirements. **(T-3)**

2.8.4. Provide information requested by AF and DCPAS in a timely manner. **(T-3)**

2.8.5. Furnish necessary support to AF and DCPAS representatives to meet their assessment and evaluation requirements, including accurate reports that meet analytical standards. **(T-1)**

2.8.6. Use civilian HCAAP results to improve civilian HCM services. **(T-3)**

Chapter 3

HUMAN CAPITAL ASSESSMENT AND ACCOUNTABILITY FRAMEWORK

3.1. The HCAAF systems. The HCAAF is supported by five human capital systems, known collectively as the Human Capital Assessment and Accountability Framework. The HCAAF systems include Strategic Alignment, Leadership and Knowledge Management, Results-Oriented Performance Culture, Talent Management, and Accountability.

3.1.1. The Strategic Alignment (Planning and Goal Setting) System promotes the alignment of Human Capital Management strategies with agency missions, goals, and objectives through analysis, planning, investment, measurement, and management of Human Capital Programs and is led by senior management. Strategic human capital plans and programs are implemented through the Leadership and Knowledge Management, Results-Oriented Performance Culture, and Talent Management systems.

3.1.2. The Leadership and Knowledge Management System ensures continuity of leadership by identifying and addressing potential gaps in effective leadership and implementing and maintaining programs that capture organizational knowledge and promote learning.

3.1.3. The Results-Oriented Performance Culture System promotes a diverse, high-performing workforce by implementing and maintaining effective performance management systems and awards programs.

3.1.4. The Talent Management System addresses competency gaps, particularly in agency mission critical occupations, by implementing and maintaining programs to attract, acquire, develop, promote, and retain quality talent.

3.1.5. The Accountability (Evaluating Results) System contributes to agency performance by monitoring and evaluating results of its Human Capital management policies, programs, and activities; by analyzing compliance with merit system principles; and by identifying and monitoring necessary improvements.

3.1.5.1. Under the HCAAF, accountability refers to leadership and line management support and compliance with merit systems and equal employment opportunity principles, and the efficient, timely, and legal completion of Human Resource services, processes, and transactions.

3.1.5.2. Appropriate, meaningful metrics will measure the success of the Human Resource services, processes, and transactions that are conducted. Results, monitored and evaluated on a regular basis, with changes made as necessary, will inform leadership for management planning and decision making.

3.2. Human Resource areas HCAAF supports. The HCAAF systematically supports strategic workforce planning to meet the critical needs of aligning the AF human capital program with current and emerging missions. The system also enables and supports the development of long-term strategies for meeting AF Human Resource Management (HRM) Domain programmatic goals. The HRM Domain includes the following areas: Define, Acquire, Develop, Utilize, Sustain, Transition, Compensate, and Develop HR Strategy and Policy. As AF civilian employees move into, among, and out of these domains over the course of their careers, they will be supported by the HCAAF.

DANIEL R. SITTERLY, SES, USAF
Principal Deputy Assistant Secretary of the Air
Force (Manpower & Reserve Affairs)

Attachment 1

GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION

References

5 CFR Part 250, *OPM Human Capital Assessment and Accountability Framework (OPM HCAAF)*

5 CFR Section 300.103, *Employment Practices. Basic Requirements*

5 USC 1401, *Chief Human Capital Officers Act (CHCO Act)*, 2002

5 USC 1402, *Authority and Functions of Agency Chief Human Capital Officers*

Public Law 109-163, Section 1122, *National Defense Authorization Act for Fiscal Year 2006*, January 6, 2006

DOD Directive 5124.02, *Under Secretary of Defense for Personnel and Readiness (USD (P&R))*, January 6, 2006

DOD Directive 5400.11, *Department of Defense Privacy Program*, October 29, 2014

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DoDI 1400.25, Volume 250, *Civilian Strategic Human Capital Planning (SHCP)*, November 18, 2008

HAFMD 1-24, *Assistant Secretary of the Air Force (Manpower and Reserve Affairs)*, 15 December 2008

HAFMD 1-32, *Deputy Chief of Staff of the Air Force, Manpower, Personnel and Services*, 1 July 2009

AFPD 36-1, *General Civilian Personnel Provisions and Authorities*, 23 July 2013

AFPD 36-5, *Civilian Personnel Resource Management*, 30 November 1993

AFI 33-332, *Air Force Privacy and Civil Liberties Program*, 12 January 2015

AFI 33-360, *Publications and Forms Management*, 25 September 2013

AFMAN 33-363, *Management of Records*, 1 March 2008

OPM Human Capital Assessment and Accountability Framework Practitioners' Guide, *Human Capital Management Reference Materials Glossary*, September 2005

AF Civilian Human Capital Self-Assessment Guide, April 2015

AF Civilian Workforce Planning Guide, 2015

Prescribed Forms

None

Adopted Forms

AF Form 847, *Recommendation for Change of Publication*

Abbreviations and Acronyms

AF—Air Force

AFI—Air Force Instruction

AFMAN—Air Force Manual

AFPC—Air Force Personnel Center

AFPD—Air Force Policy Directive

CFR—Code of Federal Regulations (US)

CHCO—Chief Human Capital Officer

COCOM—Combatant Command

CPS—Civilian Personnel Section

DAF—Department of the Air Force

DCPAS—Defense Civilian Personnel Advisory Service

DoD—Department of Defense

DoDD—Department of Defense Directive

DoDI—Department of Defense Instruction

DRU—Direct Reporting Unit

FOA—Field Operating Agency

HAFMD—Headquarters Air Force Mission Directive

HCAAF—Human Capital Assessment and Accountability Framework

HCAAP—Human Capital Assessment and Accountability Plan

HCM—Human Capital Management

HOI—Headquarters Operating Instruction

HRM—Human Resource Management

IAW—In Accordance With

IG—Inspector General

MD—Mission Directive

MICT—Managers' Internal Control Toolset

OL—Operating Location

OMB—Office of Management and Budget

OPM—Office of Personnel Management

OSD—Office of the Secretary of Defense

USC—United States Code

Terms

Accountability System— A system that contributes to agency performance by monitoring and evaluating the results of its human capital management policies, programs, and activities; by analyzing compliance with merit systems principles; and by identifying and monitoring necessary improvements.

Acquire— Successfully bring people into the AF.

Agency Strategic Plan— A formal description of how an agency will carry out its mission over a period of time. The strategic plan must include the agency's mission, its strategic goals, the strategies to be used to achieve the goals (including workforce adjustments, staff skills, budget, and human resource programs), a description of the relationship between annual program performance goals and the agency's strategic framework, key factors that could affect achievement of strategic goals, and a description of program evaluations used in preparing the strategic goal.

Chief Human Capital Officers Act of 2002 (CHCO Act)— Title 13 of the Homeland Security Act. The Act establishes Chief Human Capital Officers (CHCOs) in agencies, the Chief Human Capital Officers Council led by the Director of OPM, strategic human capital management systems, the relationship of strategic human capital management to agency performance plans and reports, and human resources flexibilities. It clarifies management accountability for managing human resources.

Civilian Employee— A person employed by the Air Force and paid from appropriated funds who is a US citizen or an alien admitted for permanent residence.

Compensate— Pay and reimburse people in accordance with eligibility.

Define— Identify appropriate manpower and structure to accomplish the mission.

Develop— Build knowledge, skills, and abilities (KSAs) to meet the mission, sustain the force, and prepare for future requirements.

Develop HR Strategy and Policy— Manage the AF Human Resources Enterprise.

Installation Commander— The individual responsible for all operations performed by an installation.

Mission Critical Occupation (MCO)— Occupations agencies consider core to carrying out their missions. Agency MCOs are a strategic program or goal with an agency-specific impact that is at risk of failure related to human Capital. (OPM definition)

Strategic Human Capital Plan— A plan that sets forth how the agency's human capital management strategies will be aligned with the agency's mission, goals, and objectives through analysis, planning, investment, and management of human capital programs. Broadly stated, the plan describes what the agency will do to ensure its employees have the mission-critical competencies required to carry out the agency's strategic goals. This involves workforce planning and deployment, including succession planning; recruiting and retaining talent; achieving performance goals; and addressing unique programmatic challenges.

Sustain— Provide individuals with what they need to productively stay in Service.

Transition— Facilitate movement in, out, and between positions within the AF, other employers, and separation or retirement.

Utilize— Use of Human Capital/people to accomplish the mission.